

+Please type an "+" inside this box ☐

PTO/SB/O5 (12/97) Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

4034-46

Total Pages

43

First Named Inventor or Application Identified

Stuart Lee Breslow et al.

Express Mail Label No.

EJ166451754US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages **36**]
(preferred arrangement as set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets **3**]
4. Oath or Declarations [Total Pages **4**]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation divisional with Box 17 completed)
[Note Box 5 below]
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is
checked). The entire disclosure of the prior
application, from which a copy of the oath or
declaration is supplied under Box 4b, is considered
as being part of the disclosure of the
accompanying application and is hereby
incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & documents(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior application,
Statements(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: /

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

NAME	Ernest D. Buff				
	Riker, Danzig, Scherer, Hyland & Perretti LLP				
ADDRESS	Headquarters Plaza				
	One Speedwell Avenue				
CITY	Morristown	STATE	New Jersey	ZIP CODE	07962
COUNTRY	USA	TELEPHONE	973-538-0800	FAX	973-359-0984

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to The Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL <i>Note: Effective October 1, 1997</i> <i>Patent Fees are subject to annual revision.</i>		Application Number Filing Date First Named Inventor Group Art Unit Examiner Name Attorney Docket Number	PaineWebber Incorporated 4034-46
TOTAL AMOUNT OF PAYMENT	(\$)	1394.00	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																											
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number → 50-0444 Deposit Account Name → Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set In 37 CFR 1.18 at the Mailing of the Notice of Allowance 2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	3. ADDITIONAL FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee Code</th> <th style="text-align: left;">Small Entity Fee Code</th> <th style="text-align: left;">Entity Fee Code</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td></tr> <tr><td>117</td><td>950</td><td>217</td><td>475</td><td>Extension for reply within third month</td></tr> <tr><td>118</td><td>1,510</td><td>218</td><td>755</td><td>Extension for reply within fourth month</td></tr> <tr><td>128</td><td>2,060</td><td>228</td><td>1,030</td><td>Extension for reply within fifth month</td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,320</td><td>241</td><td>660</td><td>Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,320</td><td>242</td><td>660</td><td>Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>450</td><td>243</td><td>225</td><td>Design issue fee</td></tr> <tr><td>144</td><td>670</td><td>244</td><td>335</td><td>Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>790</td><td>246</td><td>395</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td></tr> <tr><td>149</td><td>790</td><td>249</td><td>395</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;">*Reduced by Basic Filing Fee Paid</td> <td style="text-align: right;">SUBTOTAL (3)</td> </tr> <tr> <td colspan="4"></td> <td style="text-align: right;">(\$)</td> </tr> </tbody> </table>	Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	127	50	227	25	Surcharge - late provision filing fee or cover sheet	139	130	139	130	Non-English specification	147	2,520	147	2,520	For filing a request for reexamination	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	115	110	215	55	Extension for reply within first month	116	400	216	200	Extension for reply within second month	117	950	217	475	Extension for reply within third month	118	1,510	218	755	Extension for reply within fourth month	128	2,060	228	1,030	Extension for reply within fifth month	119	310	219	155	Notice of Appeal	120	310	220	155	Filing a brief in support of an appeal	121	270	221	135	Request for oral hearing	138	1,510	138	1,510	Petition to institute a public use proceeding	140	110	240	55	Petition to revive - unavoidable	141	1,320	241	660	Petition to revive - unintentional	142	1,320	242	660	Utility issue fee (or reissue)	143	450	243	225	Design issue fee	144	670	244	335	Plant issue fee	122	130	122	130	Petitions to the Commissioner	123	50	123	50	Petitions related to provisional applications	126	240	126	240	Submission of Information Disclosure Stmt	581	40	581	40	Recording each patent assignment per property (times number of properties)	146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	149	790	249	395	For each additional invention to be examined (37 CFR 1.29(b))	Other fee (specify) _____					Other fee (specify) _____					*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)					(\$)
Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid																																																																																																																																																								
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																								
127	50	227	25	Surcharge - late provision filing fee or cover sheet																																																																																																																																																								
139	130	139	130	Non-English specification																																																																																																																																																								
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																								
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																								
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																								
115	110	215	55	Extension for reply within first month																																																																																																																																																								
116	400	216	200	Extension for reply within second month																																																																																																																																																								
117	950	217	475	Extension for reply within third month																																																																																																																																																								
118	1,510	218	755	Extension for reply within fourth month																																																																																																																																																								
128	2,060	228	1,030	Extension for reply within fifth month																																																																																																																																																								
119	310	219	155	Notice of Appeal																																																																																																																																																								
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																								
121	270	221	135	Request for oral hearing																																																																																																																																																								
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																								
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																								
141	1,320	241	660	Petition to revive - unintentional																																																																																																																																																								
142	1,320	242	660	Utility issue fee (or reissue)																																																																																																																																																								
143	450	243	225	Design issue fee																																																																																																																																																								
144	670	244	335	Plant issue fee																																																																																																																																																								
122	130	122	130	Petitions to the Commissioner																																																																																																																																																								
123	50	123	50	Petitions related to provisional applications																																																																																																																																																								
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																								
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																								
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																								
149	790	249	395	For each additional invention to be examined (37 CFR 1.29(b))																																																																																																																																																								
Other fee (specify) _____																																																																																																																																																												
Other fee (specify) _____																																																																																																																																																												
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)																																																																																																																																																								
				(\$)																																																																																																																																																								
FEE CALCULATION 1. FILING FEE <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee Code</th> <th style="text-align: left;">Small Entity Fee Code</th> <th style="text-align: left;">Entity Fee Code</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>760</td><td>201</td><td>380</td><td>Utility filing fee</td></tr> <tr><td>106</td><td>310</td><td>206</td><td>155</td><td>Design filing fee</td></tr> <tr><td>107</td><td>480</td><td>207</td><td>240</td><td>Plant filing fee</td></tr> <tr><td>108</td><td>760</td><td>208</td><td>380</td><td>Reissue filing fee</td></tr> <tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (1)</td> <td style="text-align: right;">(\$)</td> </tr> </tbody> </table> 2. CLAIMS <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Total Claims</th> <th style="text-align: left;">Extra</th> <th style="text-align: left;">Fee From below</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr> <td>40</td> <td>- 20 =</td> <td>20 X 18.00 =</td> <td>360.00</td> </tr> <tr> <td>Independent Claims</td> <td>6 - 3 =</td> <td>3 X 78.00 =</td> <td>234.00</td> </tr> <tr> <td>Multiple Dependent Claims</td> <td>0</td> <td>0 X 0 =</td> <td>0.00</td> </tr> </tbody> </table> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Entity Fee Code</th> <th style="text-align: left;">Small Entity Fee Code</th> <th style="text-align: left;">Entity Fee Code</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: left;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>78</td><td>202</td><td>39</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>260</td><td>204</td><td>130</td><td>Multiple dependent claim</td></tr> <tr><td>109</td><td>78</td><td>209</td><td>39</td><td>Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (2)</td> <td style="text-align: right;">(\$)</td> </tr> </tbody> </table>	Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid	101	760	201	380	Utility filing fee	106	310	206	155	Design filing fee	107	480	207	240	Plant filing fee	108	760	208	380	Reissue filing fee	114	150	214	75	Provisional filing fee	SUBTOTAL (1)				(\$)	Total Claims	Extra	Fee From below	Fee Paid	40	- 20 =	20 X 18.00 =	360.00	Independent Claims	6 - 3 =	3 X 78.00 =	234.00	Multiple Dependent Claims	0	0 X 0 =	0.00	Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20	102	78	202	39	Independent claims in excess of 3	104	260	204	130	Multiple dependent claim	109	78	209	39	Reissue independent claims over original patent	110	18	210	9	Reissue claims in excess of 20 and over original patent	SUBTOTAL (2)				(\$)	4. SUBTOTALS <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">SUBTOTAL (1)</td> <td style="width: 10%;">(\$)</td> <td style="width: 30%; text-align: right;">760.00</td> <td style="width: 30%;"></td> </tr> <tr> <td>SUBTOTAL (2)</td> <td>(\$)</td> <td style="text-align: right;">594.00</td> <td></td> </tr> <tr> <td colspan="2"></td> <td style="text-align: right;">SUBTOTAL (3)</td> <td style="text-align: right;">(\$)</td> </tr> <tr> <td colspan="2"></td> <td></td> <td style="text-align: right;">40.00</td> </tr> </table>	SUBTOTAL (1)	(\$)	760.00		SUBTOTAL (2)	(\$)	594.00				SUBTOTAL (3)	(\$)				40.00																																																					
Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid																																																																																																																																																								
101	760	201	380	Utility filing fee																																																																																																																																																								
106	310	206	155	Design filing fee																																																																																																																																																								
107	480	207	240	Plant filing fee																																																																																																																																																								
108	760	208	380	Reissue filing fee																																																																																																																																																								
114	150	214	75	Provisional filing fee																																																																																																																																																								
SUBTOTAL (1)				(\$)																																																																																																																																																								
Total Claims	Extra	Fee From below	Fee Paid																																																																																																																																																									
40	- 20 =	20 X 18.00 =	360.00																																																																																																																																																									
Independent Claims	6 - 3 =	3 X 78.00 =	234.00																																																																																																																																																									
Multiple Dependent Claims	0	0 X 0 =	0.00																																																																																																																																																									
Large Entity Fee Code	Small Entity Fee Code	Entity Fee Code	Fee Description	Fee Paid																																																																																																																																																								
103	18	203	9	Claims in excess of 20																																																																																																																																																								
102	78	202	39	Independent claims in excess of 3																																																																																																																																																								
104	260	204	130	Multiple dependent claim																																																																																																																																																								
109	78	209	39	Reissue independent claims over original patent																																																																																																																																																								
110	18	210	9	Reissue claims in excess of 20 and over original patent																																																																																																																																																								
SUBTOTAL (2)				(\$)																																																																																																																																																								
SUBTOTAL (1)	(\$)	760.00																																																																																																																																																										
SUBTOTAL (2)	(\$)	594.00																																																																																																																																																										
		SUBTOTAL (3)	(\$)																																																																																																																																																									
			40.00																																																																																																																																																									

SUBMITTED BY:		Complete (if applicable)	
Typed or Printed Name	Ernest D. Buff	Reg. Number	25,833
Signature		Date	12/30/98
		Deposit Account User ID	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Attorney Docket No.:
For:

Stuart Lee Breslow et al.
4034-46
ON-LINE TRADING SYSTEM




Morristown, N.J. 07962
December 30, 1999

Box Patent Application
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EJ166451754US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.


Angela Gehring
(Mailer)